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M. Bud Nelson  
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Jc625 U.S. PTO  
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11/09/99

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Barberá-Guillem et al.

**B-13 NP**

Filed: 09 November 1999

For: Functionalized nanocrystals and their use in labeling for strand synthesis or sequence determination.

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Applicants wish to make of record the following references under the provisions of 37 CFR 1.97 **and** to provide copies of relevant background cited in the application. The submission of any document herewith is not intended as an admission that such document constitutes prior art against the claims of the present application, or is to be considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove any document as a cited reference against the claims of the present invention.

**References Cited**

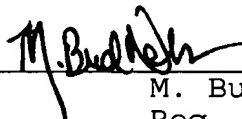
Please see attached Form PTO-1149 for list of publications, legible copies of all publication listed are enclosed.

**Statement of Relevancy**

1. Jacoby, 1998, *C&EN*, 1998, Sept.28, p.8. This article describes quantum dots capped with mercaptoacetic acid.
2. Emory et al., 1998, *J. Am. Chem. Soc.* 120:8009-8010. This paper describes optical properties of quantum dots.
3. Service, 1998, *Science*, 281:2013-2015. This summary notes that efforts are being made to try and link quantum dots to specific biological molecules.
4. Bruchez Jr. et al., 1998, *Science*, 281:2013-2015. This paper describes semiconductor nanocrystals having a core, a shell, and a third layer comprising silica.

5. Chan et al., 1998, *Science*, 281:2016-2018. This paper describes semiconductor nanocrystals having a core, a shell, and a third layer comprising mercaptoacetic acid. ✓

**The person making this statement** is the patent attorney who signs below on the basis of the information supplied by the inventors, and as the attorney associated with the filing and prosecution of this application (37 CFR 1.56(a)):



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Date: 08 November 1999